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BUREAU FOR ASIA AND THE NEAR EAST
WASHINGTON, D.C. 20523

ENVIRONMENTAL THRESHOLD DECISION

File No: ANE 08-137 WBG ETD SO486-004 GDA Water-Sanitation

RDMA

PROGRAM/ACTIVITY DATA

Country Code-SO: 486-004

SO Name: Improved Response to Environmental Challenges in Asia

Country or Region: Regional Development Office Asia (RDMA)

Activity Name: Scaling-up Household Access to Safe Water and Sanitation Program (GDA Water-Sanitation)

Funding Begin: FY 2008

Funding End: FY 2013

LOP Amount: \$11,000,000

Sub-Activity Amount:

CE/ Prepared by: Saengroaj Srisawaskraisorn, Regional Environmental Officer Date: June 2, 2008
IEE Amendment (Y/N): N If "Yes," Number @ Date:

ENVIRONMENTAL ACTION RECOMMENDED: (Place X where applicable)

Categorical Exclusion: ☒

Deferral: ☐

Positive Determination: ☐

Negative Determination: ☒

With Conditions: ☒

Exemption: ☐

SUMMARY OF FINDINGS

The USAID/ Regional Development Office Asia (RDMA) **Scaling-up Household Access to Safe Water and Sanitation Program (GDA Water-Sanitation)** will be implemented under its Strategic Objective SO486-004, Improved Response to Environmental Challenges in Asia. **GDA Water-Sanitation's** objective is to reduce incidence of diarrhea and other waterborne diseases through widespread adoption and sustained use of household water treatment, sanitation, and hygiene (WASH) technologies and services.

GDA Water-Sanitation's project components are: 1) improving market access on WASH technologies for the poor; and 2) improving the enabling conditions for the public health sector. Illustrative **Component 1** activities include: 1.1) conduct WASH needs assessment; 1.2) develop and test WASH business models; 1.3) ensure WASH quality control process; 1.4) conduct WASH awareness-ranging media campaign; 1.5) establish WASH financing mechanisms; 1.6) construct, install, and/or rehabilitate latrines or rainwater harvesting systems. Illustrative **Component 2** activities include: 2.1) national workshops and plans; 2.2) prepare WASH guidelines; 2.3) publish WASH guidelines; 2.4) implement national sector assessment process; 2.5) prepare national sector assessments; 2.6) organize national workshops; and 2.7) prepare action framework. **GDA Water-Sanitation's** technical assistance activities (needs assessments, model development, media campaigns, workshops, guidelines, assessment process and reports, action framework activities) are not expected have adverse impacts on the natural or physical environment. Quality controls, financing, and construction of WASH systems may have small-scale adverse environmental impacts.

APPROVAL OF ENVIRONMENTAL ACTIONS

USAID/RDMA's **GDA Water-Sanitation's** technical assistance activities (needs assessments, model development, media campaigns, workshops, guidelines, assessment process and reports, action framework activities) qualify for **Categorical Exclusion** per 22 CFR 216.2 (a)(2)(i), (iii), (v), and (xiv) as "education, technical assistance, or training programs," "analyses, studies, academic or research workshops and meetings," "document and information transfers," and "studies, projects or programs intended to develop the capability of recipient countries to engage in development planning," respectively. **GDA Water-Sanitation's** quality controls, financing, and construction of WASH systems activities qualify for a **Negative Determination with Conditions** per 22 CFR 216.3 (a)(2)(iii), the **Conditions** being laid out for grantees to implement, as specified in the BEO-approved Initial Environmental Examination (IEE) as Tables 1 and 2 and conducting an environmental screening process using an approved Environmental Documentation Form (EDF). Specifically, Tables 1 and 2 require the following mitigation measures:

Activities	22 CFR 216 Determination	Potential Impacts	Conditions/Mitigation Measures
1.3 Ensure quality control process of the drinking water treatment, and storage products sanitary latrines and rainwater harvesting systems, is effectively practiced	Negative Determination with Conditions	Defective products, due to low-quality materials and production, may cause contamination to the users or injuries to people responsible for sales, and transportation of products	Quality control process must be strictly performed and periodical inspections by project staff are encouraged

1.5 Facilitate or establish sustainable financing mechanism (e.g. microfinance) related to adoption and sustained use of targeted drinking water and sanitation technologies	Negative Determination with Conditions	Microfinance funds may be used for unsustainable water and sanitation products or services, causing contamination and other illnesses	Ensure criteria for funds disbursement must include conformity with environmentally sound design and international standard for water, sanitation, and hygiene
1.6 Construct, install, and/or rehabilitate sanitary latrines	Negative Determination	Improper practices during	a) Strictly follow international standard for latrines and
or rainwater harvesting systems in targeted communities	with Conditions	construction, installation, and rehabilitation may contaminate groundwater/surface water supply, damage ecosystem, and increase vector borne diseases, hazards/injuries to users and/or workers	rainwater harvesting systems and installation; b) Ensure sustainable operations and timely maintenance of the facilities/systems; c) Devote adequate attention to identifying and addressing social barriers to using latrines; d) Closely monitor environmental condition of areas around the facilities/systems before and after construction/ installation/ rehabilitation

Bureau Environmental
Officer

Mary Meloy for
John O. Wilson

Date: 7/17/08
Approved: ☒
Disapproved: ☐

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**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
REGIONAL DEVELOPMENT MISSION / ASIA**

INITIAL ENVIRONMENTAL EXAMINATION (IEE)

Scaling-up Household Access to Safe Water and Sanitation Program¹

SO 486-004 Improved Response to Environmental Challenges in Asia

A. Program/Activity Data

Strategic Objective: SO 486-004 Improved Response to Environmental Challenges in Asia

Program Name: Scaling-up Household Access to Safe Water and Sanitation Program

Originating Office: Regional Development Mission/Asia (RDMA)

Country/Region: Asia and Near East (ANE) Region

Funding Begin: FY 2008 **Funding End:** FY 2013

LOP Amount: \$11,000,000

IEE Prepared by: Saengroaj Srisawaskraisorn, REO, RDMA **Date:** June 2, 2008

IEE Amendment (Y/N): No. This is the original IEE for this program.

Environmental Action Recommended:

Categorical Exclusion: ☒

Positive Determination: ☐

Exemption: ☐

Deferral: ☐

Negative Determination: ☐

Neg. Deter. with Conditions: ☒

¹ Final program's name to be determined



B. Background and Activity Description

Background. While the Millennium Development Goal for access to improved water services by 2015 are being met by many countries in Asia, three major Mekong Sub-Region countries (e.g. Cambodia, Laos, and Vietnam) are unlikely to meet their targets due to the low levels of investment and commitments by the governments. Water quality and sanitation conditions remain the critical issues for most countries in this region. Specific achievements have been made in these countries at a local and project level, but they are not coherent enough to deliver the long-term impacts. Too many agencies are tasked for water supply, sanitation services, and hygiene promotion, and often there is a lack of national strategy or policy and a lead to steer the coordinated efforts in the right direction.

Despite the situation, there are opportunities to improve water supply, sanitation and hygiene conditions in this region. The Scaling-up Household Access to Safe Water and Sanitation Program proposes a two-pronged approach in expanding access to water supply, sanitation, and hygiene technologies and services to the poor.

Program Objective. To reduce incidence of diarrheal and other waterborne diseases through widespread adoption and sustained use of household water treatment, sanitation and hygiene technologies and services.

Program Overview. Through a public-private partnership, the program will engage private sector to accelerate consumer adoption and sustained use of water supply, sanitation, hygiene (WASH) technologies and services among the lower-income populations. It will also develop household water treatment system (HWTS) policy framework and national implementation plans in select Asian countries with a public international organization (PIO). The program is planned for five years subject to funding and performance. Initial program geographic focus will include countries in the Mekong Sub-Region (i.e., Cambodia, Laos, and Vietnam) where large opportunities for this sector still exist. However, future expansion to other countries in the region is also possible, including Indonesia, the Philippines, India, and Bangladesh.

Program Activities. The activities will be implemented in two levels.

Component One: Improving market access on WASH technologies for the poor – This program component will work with NGOs and private sector partners to identify the behavioral and financing-related challenges preventing commercial enterprises from profitably serving lower income consumers. Business models will be developed to focus on consumer-driven marketing messages and product innovation, micro-finance, and strengthening value chains to promote innovative sales and distribution channels. This applied learning model will focus initially on the: **ceramic water purifier (CWP) filter**, a point-of-use (POU) technology shown to achieve sustained use over time and reduce waterborne disease under field conditions in many countries; **sanitary latrines** which have been successfully marketed in Vietnam; and **Innovative rainwater harvesting systems (RWH)** that will effectively be combined with CWPs and safe storage technology. Lessons learned from this exercise will be broadly applied to develop market oriented solutions across the spectrum of proven household water treatment, sanitation and hygiene technologies. An integral element of this component will be quantifying the effectiveness of different market-based interventions. The criteria will be based on consumers' sustained and proper use of these products, and, ultimately, on waterborne disease reduction outcomes, as measured through prospective cohort studies in each target implementation site.

Table 1 Illustrative activities under Program Component One, recommended environmental determinations, potential impacts to the environment, and mitigation measures

Activities	22 CFR 216 Determination	Potential Impacts	Conditions/Mitigation Measures
1.1 Conduct participatory needs assessments for water supply and sanitation services, including assessment of challenges and community water system capacity and condition	Categorical Exclusion	--	--
1.2 Develop and test business models for marketing low-cost, household-level drinking water treatment and storage systems, sanitary latrines, and rainwater harvesting systems	Categorical Exclusion	--	--
1.3 Ensure quality control process of the drinking water treatment, and storage products sanitary latrines and rainwater harvesting systems, is effectively practiced	Negative Determination with Conditions	Defective products, due to low-quality materials and production, may cause contamination to the users or injuries to people responsible for sales, and transportation of products	Quality control process must be strictly performed and periodical inspections by project staff are encouraged
1.4 Conduct media campaign to raise awareness about water supply and sanitation issues	Categorical Exclusion	--	--
1.5 Facilitate or establish sustainable financing mechanism (e.g. microfinance) related to adoption and sustained use of targeted drinking water and sanitation technologies	Negative Determination with Conditions	Microfinance funds may be used for unsustainable water and sanitation products or services, causing contamination and other illnesses	Ensure criteria for funds disbursement must include conformity with environmentally sound design and international standard for water, sanitation, and hygiene
1.6 Construct, install, and/or rehabilitate sanitary latrines	Negative Determination	Improper practices during	a) Strictly follow international standard for latrines and

Activities	22 CFR 216 Determination	Potential Impacts	Conditions/Mitigation Measures
or rainwater harvesting systems in targeted communities	with Conditions	construction, installation, and rehabilitation may contaminate groundwater/surface water supply, damage ecosystem, and increase vector borne diseases, hazards/injuries to users and/or workers	rainwater harvesting systems and installation; b) Ensure sustainable operations and timely maintenance of the facilities/ systems; c) Devote adequate attention to identifying and addressing social barriers to using latrines; d) Closely monitor environmental condition of areas around the facilities/ systems before and after construction/ installation/ rehabilitation

Component Two: Improving the enabling conditions for the public health sector -- Successful scale-up of household hygiene technologies and services also depends on a strong public health sector providing supportive policies, promotion and awareness. This program component plans to provide technical assistance to national agencies involved in the WASH sector to provide the enabling conditions for the sector improvement. A number of ministries have been tasked for hygiene and sanitation promotion, drinking water quality surveillance, and household water treatment. And yet technical staff of these ministries have largely demonstrated insufficient capacity to perform such important aspects of their responsibilities effectively. A possible cause of such under-performance is the lack of a clear understanding or agreement on the role of different ministries in these crucial aspects of sector development. Thus, this program will address this issue in a participatory and effective manner through the preparation of conceptual documentation, inter-regional and national consultations and through national planning mechanisms.

Table 2. Details of Component Two activities, potential impacts, and mitigation measures

Activities	22 CFR 216 Determination	Potential Impacts	Conditions/Mitigation Measures
2.1 Conduct national workshops, prepare national plans, and support implementation of plans	Categorical Exclusion	---	---
2.2 Prepare guidelines on the role of all ministries involved in sanitation, hygiene and drinking water/ conduct inter-regional consultation	Categorical Exclusion	---	---
2.3 Prepare and publish guidelines on national monitoring of access to improved drinking water and sanitation	Categorical Exclusion	---	---
2.4 Support implementation of national sector assessment processes	Categorical Exclusion	---	---

Activities	22 CFR 216 Determination	Potential Impacts	Conditions/Mitigation Measures
2.5 Support preparation of national sector assessment reports	Categorical Exclusion	---	---
2.6 Organize national workshops to discuss the policy aspects and adoption of a process towards preparing a framework for action	Categorical Exclusion	---	---
2.7 Support preparation of a framework for action	Categorical Exclusion	---	---

C. Discussion of Environmental Impacts

Categorical Exclusion. As shown in tables 1 and 2, activities 1.1 and 1.2 under Program Component One *Improving Market Access on WASH Technologies for the Poor* are deemed to have no significant environmental impacts. Funding for these activities will be dedicated to technical assistance, trainings and consultations, workshops and conferences, and information sharing and dissemination, and therefore, qualify for the following Categorical Exclusions pursuant to USAID authority under 22 CFR 216(c)(2):

- (i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.);
- (iii) Analyses, studies, academic or research workshops and meetings;
- (v) Document and information transfers;
- (xiv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.).

Negative Determination with Conditions. Activities 1.3, 1.5, and 1.6 under Program Component One *Improving Market Access on WASH Technologies for the Poor* may cause potentially negative impacts to the environment as described in Table 1, and, therefore, are recommended for a Negative Determination with Conditions per 22 CFR 216.3 (2)(iii). The grantees are required to strictly follow the internationally-accepted standards and best practices for water and sanitation system and technologies as described in Table 1. Moreover, the grantees must also conduct environment screening process (i.e., completing the Environmental Documentation Form) for such activities as the program progresses, and submit the recommendations to USAID RDMA for CTO approval.

The RDMA, led by the designated CTO of this activity, assumes responsibility for actively monitoring the implementation of the activities under this program.

D. Recommended Environment Action

It is recommended that the Scaling-up Household Access to Water and Sanitation Program be granted a Negative Determination with Conditions for those activities that may have an environmental impact, and a Categorical Exclusion for those that are excluded pursuant to the requirements of 22 CFR §216.2(c)(2) as described in Section C.

Approval of Recommended Environment Actions:

Approval:

Olivier Carduner
Olivier Carduner
RDMA Mission Director

Date

7/15/08

Approval:

Richard Whelden
Richard Whelden
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Date

7/10/08

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6/18/08

Concurrence:

John O. Wilson
John O. Wilson
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Date

7/17/08

Approved: ☒

Disapproved: ☐

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